

Indiana Strategic Prevention Framework State Incentive Grant

Request for Services

Strategic Prevention Framework/State Incentive Grant
Number 7-28

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RFS
Strategic Prevention Framework/State Incentive Grant
Number 7-28
GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

SECTION ONE

1.1 INTRODUCTION

In accordance with Indiana statute, including IC 5-22-6, the Indiana Department of Administration (IDOA), acting on behalf of the Indiana Family and Social Services Administration Division of Mental Health and Addiction (FSSA/DMHA), requires a Request for Services (RFS) for the DMHA disbursement of funds of the State Prevention Framework State Initiative Grant (SPF SIG). It is the intent of IDOA to solicit responses to this RFS in accordance with the statement of work, proposal preparation section, and specifications contained in this document. The purpose of this RFS is to identify communities that can address and implement the SPF process to prevent and reduce substance reduction for alcohol, cocaine and methamphetamine. Applicants may include all existing or new coalitions, non-for-profits agencies, and/or governmental entities who would like to complete the SPF process and provide substance abuse prevention for the identified populations. All applicants are welcome. A complete outline of this RFS is presented in section 1.5 on page five of this document. This RFS is being posted to the IDOA website (<http://www.IN.gov/idoa/proc>) for downloading. A nominal fee will be charged for providing hard copies. Neither this RFS nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFS. Other special terms may be used in the RFS, but they are more localized and defined where they appear, rather than in the following list:

| | |
|-----------------------|--|
| Applicants | Communities applying for the SPF SIG Award |
| CAPT | Center for the Application of Prevention Technology |
| CLI | Community Level Interview |
| CSAP | Center for Substance Abuse Prevention |
| CSAT | Center for Substance Abuse Treatment |
| Community | County or coalition |
| DFC | Drug Free Communities |
| DMHA | Division of Mental Health and Addiction |
| DSA | Defined Service Area (Afternoon's ROCK) |
| Fiscal Officer | Professional member of the "Contractor's" staff who will assume responsibility for the fiscal management, accounting, and financial obligations of the contract. |

| | |
|---|--|
| | Often this is the ‘treasurer’ or ‘comptroller’ of the organization. This officer may not serve as the program director. |
| FSSA | Family and Social Services Administration |
| Full Time Equivalent(FTE) | The State defines FTE as a measurement of an employee's productivity on a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE. |
| Highest Need/Highest Contributor | Highest rate of occurrence /Total number of events |
| Funded State Priorities | Alcohol, Cocaine, and Methamphetamine |
| IAC | The Indiana Administrative Code. |
| IAPP | Indiana Association of Prevention Professionals |
| IC | The Indiana Code. |
| ICJI | Indiana Criminal Justice Institute |
| IDOA | Indiana Department of Administration |
| IDOE | Indiana Department of Education |
| Implementation | The successful implementation of SPF SIG process as specified in the contract resulting from this RFS. |
| IPRC | Indiana Prevention Resource Center |
| In-kind costs | Non-cash match, grantee contributions of property or depreciation of equipment, third party contributions including services, equipment or property |
| Installation | The delivery and physical setup of products or services requested in this RFS. |
| ITPC | Indiana Tobacco Prevention and Cessation |
| LCC | Local Coordinating Council |
| Lead Agency | Agency taking responsibility to oversee community or Coalition’s activities for SPF SIG |
| LEOW | Local Epidemiological Outcomes Workgroup |
| MOU | Memorandum of Understanding |
| OFBCI | Office of Faith Based Community Initiatives |
| Program Director | Full-time prevention professional who serves as coordinator, who provides technical assistance and oversight for the project. The ‘Program Director’ must have or acquire within 120 days a Certified Prevention Professional (C.P.P.) certificate from the Indiana Association of Prevention Professionals (IAPP) |
| NOMS | National Outcomes Measures for Prevention |
| RFS | Request for Services |
| SAMHSA | Substance Abuse Mental Health Services Administration |

| | |
|---------------------------------------|--|
| SAPT | Substance Abuse Prevention and Treatment Block Grant |
| SEOW | State Epidemiological Outcomes Workgroup |
| SPF SIG | Strategic Prevention Framework State Incentive Grant |
| SPF SIG Steps | Assessment, Capacity, Planning, Implementation, and Evaluation with adherence to Sustainability and Cultural Competence |
| State Priorities | Alcohol, Tobacco, Marijuana, Cocaine, Methamphetamine, and Prescription Drugs |
| Other Governmental Body | An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following: (1) The judicial branch. (2) The legislative branch. (3) A political subdivision (includes towns, cities, local governments, etc.) (4) A State educational institution |
| Products | Tangible goods or manufactured items as specified in this RFS. |
| Proposal Respondent | An offer as defined in IC 5-22-2-17. An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the Respondent who will be ultimately responsible for performance of the contract. |
| Services | Work to be performed by respondents as specified in this RFS. |
| State | The State of Indiana |
| State Agency | As defined in IC 4-13-1, “State agency” means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of State government. |
| Statement of Commitment Vendor | Statement of a community committing to complete tasks Any successful Respondent selected as a result of the procurement process to deliver the products or services requested by this RFS. |

1.3 PURPOSE OF THE RFS

The purpose of this RFS is to identify communities that can address and meet the federal and State’s requirements for disbursement of the Substance Abuse Mental Health Services Administration (SAMHSA) grant funds to aid communities in preventing and

reducing substance use and abuse across the lifespan of Indiana citizens. It is the intent of the Strategic Prevention Framework State Incentive Grant (SPF SIG) to contract with communities to build capacity and programming to address substance reduction and abuse in Indiana for DMHA'S SPF SIG.

The Strategic Prevention Framework State Incentive Grant (SPF SIG) is a five year cooperative agreement from the Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Prevention (SAMHSA/CSAP) awarded to the Office of the Governor to reduce substance use and abuse across the lifespan of Indiana citizens. The vision of the SPF SIG is to *Imagine Indiana Together* with a network of grassroots organizations collaborating to develop 'healthy, safe, and drug-free environments that nurture and assist all Indiana citizens to thrive.' With the administration of the initiative, awarded to the Division of Mental Health and Addiction (DMHA), the SPF SIG is a five year cooperative agreement involving assessment, capacity building, strategic planning, implementation and evaluation. In creating a solid foundation for the SPF SIG, a Governor's Advisory Council, appointed by the Governor, was organized. The Governor's Advisory Council (GAC) was established to advise and assist in implementing the strategic planning process as required by SAMHSA/CSAP. To further support the efforts of the grant, the State Epidemiological Outcomes Workgroup (SEOW) has devoted their focus to reviewing epidemiological data on the patterns and consequences of substance use and abuse in the State and provided State Priorities. These priorities are pervasive through the State and stand independent of the SPF SIG. Three priorities were chosen from the six State priorities that the SPF SIG funds will be allocated for, which are specifically identified indicators of alcohol, cocaine, and methamphetamine.

The main focus of the SEOW, in working with the SPF SIG, is to collect and analyze data, provide core support to the GAC for prevention decision making, and provide systematic and analytical data to support recommendations of priorities for the project. The Indiana Strategic Work Plan is a plan the State has written for the federal government denoting how Indiana will implement the Strategic Prevention Framework. The plan is organized to address the requirements of building a cohesive plan that delineates the comprehensive assessment process, a review of the systems (capacity and infrastructure), the priorities, the planning and allocation process, cultural competency, sustainability, implementation and the evaluation of the SPF SIG project.

1.4.1 SUMMARY SCOPE OF WORK

The applicants and awarded communities will be required to complete the following:

- Attend the Pre-Conference Informational Session (03/01/07) @ IGCS's Auditorium from 1p to 5 pm.
- Attend one of the Regional Technical Assistance Workshops during the week of March 5th, 2007, which will be announced at the Pre-Conference Informational Session on March 1st.
- Submit a Letter of Interest to the State indicating intent to apply for the grant by March 12th, 2007. (Attachment A)

- Submit a Grant Proposal, evidencing their community is a high need/high contributor based on the SEOW's identification of one of the three funded State priority indicators of alcohol, cocaine, or methamphetamine. The original copy, six hard copies plus copy on CD ROM are required at time of submission, as required as part of the technical proposal. (Refer to 1.7 on page 6)
- Submit with proposal budget summary for year one, a, completed organizational assessment tool, and statement of commitment to complete all five steps of the SPF SIG process: assessment, capacity building, planning, implementation and evaluation, and adhere to the Cultural Competence and Sustainability components of the process, as required as part of the technical proposal.
- Submit a statement of intent to address Sustainability with an outline of how your community intends to continue the services after the life of the grant is completed through other funding sources and partnering efforts.
- Submit statement of intent to submit all standardized data collections as required by Evaluation Team, and agree to participate in all evaluation activities whether initiated by CSAP or the State, as part of the Transmittal Letter.
- Submit statement to address the experience your community or coalition has with data collection and evaluation as required in Business Proposal general section of 2.3.1.
- Awarded grantees will designate a.) a single "project director" who shall have ultimate management responsibility for the contract, b.) a "fiscal officer" who shall maintain fiscal records and reports, c.) one FTE "program director" who will be a full-time prevention professional, serve as coordinator of the community's organizational team, or Coalition, provide technical assistance and oversight for the Direct Prevention Services offered by the Coalition, and d.) one FTE Administrative Assistant who will serve as the administrative assistant to the program director. The program director and administrative assistant are to be the only two employee positions compensated directly from the awards' monies from the grant. Each employee position must be held by a different individual.
- Applicants will evidence a 'demonstrated relationship' through a memorandum of understanding (MOU), with their designated area Governor's Commission for Drug Free Indiana Community Consultant and LCC, as required as part of the technical proposal. (See Attachment E).
- Applicants will agree to represent specific coalitions and could include, but are not limited to DFC, ITPC, Afternoon's ROCK Defined Service Areas, and other coalitions of interest identifying targeted communities.
- Applicants will agree to receive and participate in trainings and the technical assistance provided to assist them in developing community-specific logic models.
- Applicants will agree to participate in the nationally-mandated

Community Level Interviews (CLI), State Level Interviews (SLI) and web-based surveys administered by Westat and the NOMS.

- Applicants will agree to have a computer with a minimum of DSL or better connection to the internet; applicants also agree to use the Microsoft Office Suite 2003 or newer version (including at a minimum MS Word, MS Excel, MS Access) to process data and submit written reports requested by SPF SIG program and evaluation staff.
- Applicants will agree to have their program director certified by IAPP.
- Applicants will submit all documentation, as required by the State in Section Two of this RFS, to comply with State code.

1.5 RFS OUTLINE

The outline of this RFS document is described below:

| Section | Description |
|--|--|
| Section 1 – General Information and Requested Products or Services | This section provides an overview of the RFS, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFS |
| Section 2 – Proposal Preparation Instruction | This section provides instructions on the format and content of the RFS including a Letter of Intent, Business Proposal, Technical Proposal, and a Cost Proposal |
| Section 3 – Proposal Evaluation Criteria | This section discusses the evaluation criteria to be used to evaluate respondents' proposals |
| Attachment A | Letter of Interest |
| Attachment B | Compensation Schedule |
| Attachment C | Sample Contract |
| Attachment D | Scoring Criteria |
| Attachment E | Memorandum of Understanding |

1.6 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFS must be submitted in writing by the deadline of **3 p.m. Eastern Time on March 15th, 2007**. Questions/Inquiries may be submitted via email RFP@idoa.IN.gov and must be received by the Procurement Division by the time and date indicated above. Please call **317-233-5710** if there are any questions.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents, as well as questions raised at the Pre-Organizational Conference Session and Regional Technical Assistance Workshops. The responses will be posted to the IDOA website according to the RFS timetable established in Section 1.23. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA and DMHA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Inquiries are not to be directed to any staff or committee member of the SPF SIG project, including members of the GAC, SEOW or other workgroups of the SPF SIG. Such action may disqualify a Respondent from further consideration for a contract resulting from this RFS. All inquiries are to be posed to the Procurement Division.

If it becomes necessary to revise any part of this RFS, or if additional information is necessary for a clearer interpretation of provisions of this RFS prior to the due date for proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information requirements, if required.

1.7 DUE DATE FOR PROPOSALS

All proposals must be received at the address below by the Procurement Division no later than **3 p.m. Eastern Time** on March 29th, 2007. Each Respondent must submit one original (marked "Original") and six (6) complete copies of the proposal, including the Organizational Assessment Tool, the Projected Budget for year '01, and other related documentation as required in this RFS. A complete copy of the proposal must be provided on CD-ROM.

Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate brochures or other presentations, beyond those necessary to present a complete and effective proposal, are not desired. All proposals must be addressed to:

Jessica Robertson
Indiana Department of Administration
Procurement Division
402 West Washington Street, Room W478
Indianapolis, IN 46204

Caution to Respondents about shipping/mailing: United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the Procurement Division. It is the responsibility of the Respondent to make sure that solicitation responses are received by the Procurement Division at the

Department of Administration's reception desk on or before the designated time and date. Late submissions will not be accepted. The Department of Administration, Procurement Division clock is the official time for all solicitation submissions.

All proposal packages must be clearly marked with the RFP number, due date, and time due. Any proposal received by the Department of Administration, Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the Respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

All proposals submitted to the State should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper. When possible, soy ink should be used.

1.8 PRE-CONFERENCE INFORMATIONAL SESSION

A Pre-Conference Informational Session is scheduled for March 1st, 2007 in the IGCS Auditorium at 1pm. This conference will be advertised by the Outreach Workgroup of the SPF SIG Project, and mandatory for any potential sub-recipient community. This conference will offer an overview of the SPF SIG goals and timelines, target populations identified by the SEOW Reports and Indicators, Data Resources & Community Resources available, Organizational Readiness Tool instruction, Cultural Competence Readiness, Evaluation expectations, RFS guidelines and offer a Question/Answer period. All questions and responses will be posted on the website of IDOA. Technical Assistance (TA) Workshops will also be mandatory for all potential applicants. There will be 3 Regional TA Workshops during the week of March 5th, the first will be in Clarksville, Indiana, the second in South Bend, Indiana and the third in Indianapolis. Communities can attend any of the three and the locations and times will be announced at the Pre-Conference Informational Session on March 1st. The conference and workshops will cover various vehicles of communication for advertisement (via electronic and hard copy) and any special arrangements can be made available for special needs circumstances, as requested by attendees responding to invitations.

At these workshops, potential respondents may ask questions about the RFS and the RFS process. Respondents are reminded that no answers issued verbally are binding on the State until it is later issued in writing. Answers to all questions and inquiries will be posted on the website for official responses.

1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFS may only be made in the manner and format described in Section 1.6 and clearly identified as a modification.

The Respondent's authorized representative may withdraw the proposal, in person, prior to the due date. Proper documentation and identification will be required before the Procurement Division will release the withdrawn proposal. The authorized representative will be required to sign a receipt for the withdrawn proposal.

Modification to, or withdrawal of, a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered.

1.10 PRICING

Pricing on this RFS must be firm and remain open for a period of not less than 180 days from the proposal due date.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment C. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFS.

1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required, will be discussed in the technical proposal.

1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one or more Respondent(s) to fulfill the requirements in this RFS.

The term of the contract shall be for a period of (2) years from the date of contract execution. There may be (2) one year renewals for a total of four (4) years at the State's option, subject to continuation of contract based on the community's ability to comply with requirements of the contract.

A sample Compensation Schedule is at the end of this document; see Attachment B.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFS file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked "Confidential" and must indicate in the Transmittal Letter and on the outside of that envelope that confidential materials are included. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

1.16 TAXES

Proposals should not include any tax from which the State is exempt.

1.17 PROCUREMENT DIVISION REGISTRATION

In order to receive an award, you must be registered as a bidder with the Department of Administration, Procurement Division. Therefore, to ensure there is no delay in the award all Respondents are strongly encouraged to register prior to submission of their response. Respondents should go to www.in.gov/idoa/proc and click on “Bidder Registration” to register.

1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana
Corporation Division
402 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576
www.in.gov/sos

1.19 COMPLIANCE CERTIFICATION

Responses to this RFS serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to setoff such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, it has been determined that there is a reasonable expectation of minority and woman business enterprises subcontracting opportunities on a contract awarded under this RFS. Therefore extra points will be awarded to proposals that show they are Minority Business Enterprises and/or Woman Business Enterprises.

1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFS SUBCONTRACTOR COMMITMENT

In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a MWBE Subcontractor Commitment Form. The Form must show that there are,

participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at www.buyindiana.in.gov. If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

Prime Contractors must ensure that the proposed subcontractors meet the following criteria:

- Must be listed on the IDOA Directory of Certified Firms
- Each firm may only serve as once classification – MBE or WBE
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- Must serve a commercially useful function. The firm must serve a value-added purpose on the engagement.
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at www.buyindiana.in.gov
- Must be used to provide the goods or services specific to the contract
- National Corporate Diversity Plans are generally not acceptable

**MINORITY & WOMEN'S BUSINESS ENTERPRISES RFS SUBCONTRACTOR
LETTER OF COMMITMENT**

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project and approximate date the subcontractor will perform work on this contract. The State cannot give extra points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State's M/WBE Program. Questions involving the

regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women's Business Enterprises Division at (317) 232-3061 or mwbe@idoa.in.gov.

1.22 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

1.23 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFS process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Key RFS Dates:

| Activity | Date |
|--|--------------------------------------|
| Issue of RFS | March 1 st , 2007 |
| Deadline to Submit Written Questions | March 15 th , 2007 |
| Pre-Conference Informational Session | March 1 st , 2007 |
| Regional Technical Assistance Workshops | Week of March 5 th , 2007 |
| Deadline to Submit Letter of Interest | March 12 th , 2007 |
| Response to Written Questions/RFS Amendments | March 19 th , 2007 |
| Submission of Proposals | March 29 th , 2007 |

| <i>The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.</i> | |
|--|--|
| Expert Review Team Evaluation | April 9 th , 2007 – April 16 th , 2007 |
| Proposal Discussions/Clarifications (if necessary) | April 9 th , 2007 – April 23 rd , 2007 |
| Oral Presentations (if necessary) | April 16 th , 2007- April 20 th , 2007 |
| Best and Final Offers (if necessary) | April 27 th , 2007 |
| Contract Award | May 5 th 2007 |

(This deleted section isn't pertinent to the RFS for the SPF SIG.)

SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the Respondent's proposal.
- The Transmittal Letter must be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below

2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

2.2.1 Agreement with Requirement as listed in Section 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section Three of this RFS. The letter must also contain a

statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFS including, but not limited to, the State's mandatory contract clauses.

2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature. Also indicate the individual who completed the application with all above contact information.**

2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

2.2.5 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.

2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as "optional."

2.3.1 General

This section of the business proposal will be used to introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFS. Also include the experience your community or coalition has with data collection and evaluation.

2.3.2 Respondent's Company Structure

The legal form of the Respondent's business organization, the State in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section must include the Respondent's financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent's financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFS. A fiscal manager must be named with a short resume of prior experience and expertise.

2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

2.3.5 Contract Terms/Clauses

A sample contract that the State expects to execute with the successful Respondent(s) is provided in Attachment C. This contract contains both mandatory and non-mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are highly desirable. It is the

State's expectation that the final contract will be substantially similar to the sample contract provided in Attachment C.

In your Transmittal Letter please indicate acceptance of these mandatory contract terms (see section 2.2.2). In this section please review the rest of the contract and indicate your acceptance of the non-mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause. If you require additional contract terms please include them in this section. To reiterate it's the State's strong desire to not deviate from the contract provided in the attachment and as such the State reserves the right to reject any and all of these requested changes.

The mandatory contract terms are as follows:

- Authority to Bind Contractor
- Duties of Contractor, Rate of Pay, and Term of Contract
- Compliance with Laws
- Conflict of Interest
- Drug-free Workplace Provision and Certification
- Funding Cancellation
- Indemnification
- Governing Laws
- Non-discrimination clause
- Payments
- Penalties/Interest/Attorney's Fees
- Non-collusion and Acceptance
- Information Technology **Only mandatory when contract is for IT products or services*

Any or all portions of this RFS and any or all portions of the Respondents response may be incorporated as part of the final contract

2.3.6 References

The Respondent must include a list of at least (3) **three** clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFS. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information.

2.3.7 Registration to do Business

Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at www.in.gov/idoa/proc .

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to <http://www.in.gov/idoa/register/>. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the State that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database. To receive an award, you must be registered as a bidder.

Problems or questions concerning the registration process or the registration form can be e-mailed to Amey Redding, Vendor Registration Coordinator, at aredding@idoa.in.gov, or you may reach her by phone at (317) 234-0234.

2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFS, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFS or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority or Women Owned Business under IC 4-13-16.5-1. See Section 1.21 for Minority and Women Business information.

2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful

summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

All communities considering applying for the Strategic Prevention Framework State Incentive Grant must send to the State a Letter of Interest which is available at the end of this document in 'Attachment A' by March 12th, 2007.

Each grant applicant must include in the technical proposal section:

- *A statement of commitment to complete all five steps of the SPF Process with adherence to issues of Cultural Competence and Sustainability. Submit a statement of intent to address Sustainability with an outline of how your community intends to continue the services after the life of the grant is completed through other funding sources and partnering efforts.*
- *Indicators, based on the reports provided by the SEOW, that the community is a high need/high contributor community of one of the three funding priorities: alcohol, cocaine, or methamphetamine.*
- *A completed organizational assessment which will be handed out at the Pre-Conference Informational Session with instructions*
- *A completed proposed budget which is available in section 2.5.*
- *A memorandum of understanding (MOU), with their designated area Governor's Commission for Drug Free Indiana Community Consultant and LCC signed and dated. (See Attachment E).*
- *Statement confirming Buy Indiana status/registering business with IDOA*

Each sub-recipient community will go through two phases of the grant; the first phase will include the first three steps of the SPF process; assessment, capacity analysis, and writing a Strategic Plan. Based upon approval from the State, communities can continue to the second phase of the grant which will include program implementation and evaluation. Sub-recipients will be given a list of approved programs from which to choose a program for the program implementation phase. The program chosen will be one that evidences the best fit based on the logic model they've developed. The outline of the proposal should follow the outline of the Indiana State Strategic Plan format. The Scoring Criteria is outlined at the end of this RFS in Attachment D, which includes a breakdown of specific questions guiding the creation of a comprehensive application.

Number of Expected Grants and allocation processes

- Approximately \$1.98 million dollars are expected to be awarded annually to communities through the SPF SIG project.
- Funds will be allocated on a competitive basis with an anticipated 60% being awarded to alcohol priorities, 20% to methamphetamine priorities, and 20% to cocaine priorities.

- It is anticipated that up to 15 grants will be awarded to communities. The first phase of the project is the planning phase, which will be funded for between 6 and 12 months. When the steps of phase one have been successfully completed and the State's approval has been granted for the community's strategic plan, an approval for continuation to the second phase of the grant, the program implementation phase, will be given. The second phase will be based on the continuation of funding and the successful completion of community efforts of the previous year.
- The Proposed Budget must be completed and submitted with the proposal. Facility rental and upkeep, as well as In-Kind costs, (defined in the section 1.2 of this RFS) are not permitted to be used with the awarded monies.
- Funding awarded for the first phase is to cover one FTE program director, an administrative assistant and funding for assessment and evaluation components of the project.
- Applicants should be representing specific coalitions which could include, but are not limited to LCC's, DRC, ITPC, DSA's and other coalitions of interest identifying targeted communities.
- All communities must work with the Community Consultant assigned to their county.
- Cultural Competency: Communities will be required to conduct readiness, resource and needs assessments which will look at the populations for which they are targeting program development or infrastructure building. Each community is expected and must identify how they will show adherence to cultural competency issues with the support of the State.
- Sustainability: Communities must implement data-driven prevention practices beginning with the strategic planning process the State has implemented, introducing a systematic and comprehensive approach to prevention. It will be necessary to incorporate community stakeholders to increase conformability of ideas, building stronger foundations for sustainability. Submit a statement of intent to address Sustainability with an outline of how your community intends to continue the services after the life of the grant is completed through other funding sources and partnering efforts.

2.5 COST PROPOSAL

In the RFS proposals please include a document listing all financial projections with each area of cost broken down and specified.

LOCAL PREVENTION SERVICES COALITION BUDGET SUMMARY

| Planning Phase | DMHA Request | In-Kind Budget | Total Allocation |
|----------------|--------------|----------------|------------------|
| | | | \$ |

| | DMHA Request | In-Kind Budget | Total Allocation |
|--|--------------|----------------|------------------|
| ADMINISTRATIVE | | | |
| Personnel* | | | |
| Fringe Benefits: FICA Workers Compensation | | | |
| | \$ | \$ | \$ |
| | \$ | \$ | \$ |
| Contract | | | |
| Requirement: | | | |
| LEOW (Local Epidemiology & Outcomes Workgroup) | | | |
| ❖ State/Cross-site Evaluation** | | | |
| ❖ Local Project Evaluation** | | | |
| | \$ | \$ | \$ |
| | \$ | \$ | \$ |
| Office Supplies and Expenses (Computer, Copier, Paper, insurance, phone, DSL, etc.) | | | |
| | \$ | \$ | \$ |
| Coalition Support & Training | | | |
| Training | | | |
| Community Coalition Building, MVOV, Professional Certification, etc. | | | |
| | \$ | \$ | \$ |
| In State Travel | | | |
| | \$ | \$ | \$ |
| Out of State Travel | | | |
| | \$ | \$ | \$ |

| | | | |
|--|----|----|----|
| TOTAL PRIMARY CONTRACTOR BUDGET | | | |
| | \$ | \$ | \$ |

*These funds are not intended to replace existing funds for personnel, only funds that would bring staff up to 1 FTE Program Director and an Administrative Assistant.

**At least 15% of the Budget must be designated to Evaluation and 15% to assessment costs.

Contract: Generally amount paid to non-employees for services or products. A consultant is a non-employee who provides advice and expertise in a specific program area.

2.6 INDIANA ECONOMIC IMPACT

Optional for this grant.

2.7 BUY INDIANA INITIATIVE/INDIANA COMPANY

It is the Respondent's responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA, go to www.BuyIndiana.IN.gov and click on the link to update this registration. Click the tab titled Buy Indiana. Select the appropriate category for your business. Respondents may only select one category. Certify this selection by clicking the check box next to the certification paragraph. Once this is complete, save your selection and exit your account.

Respondents that have not previously registered with IDOA must go to www.BuyIndiana.IN.gov and click on the link to register. During the registration process, follow the steps outlined in the paragraph above to certify your business' status. The registration process should be complete at the time of proposal submission.

Defining an Indiana Business:

"Indiana business" refers to any of the following:

- (1) A business whose principal place of business is located in Indiana.
- (2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
- (3) A business that employs Indiana residents as a majority of its employees.

Respondents claiming this status must indicate which of the provisions above qualifies them as an Indiana business. They must also fully complete the Indiana Economic Impact Form and include it with their response.

The following is the policy concerning items 4 & 5 described below. Appropriate documentation must be provided with your proposal response supporting either claim made below:

- (4) A business that makes significant capital investments in Indiana.
- (5) A business that has a substantial positive economic impact on Indiana.

Substantial Capital Investment:

Any company that can demonstrate a minimum capital investment of \$5 million or more in plant and/or equipment or annual lease payments of \$2.5 million or more shall qualify as an Indiana business under category #4. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

Substantial Indiana Economic Impact:

Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under category #5. If a Respondent needs assistance in determining if its business qualifies under this criterion, please send an email inquiry to buyindianainvest@idoa.in.gov and you will receive a response within forty-eight (48) hours. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

Pursuant to IC 5-22-15-7, Respondents may claim only one preference. For the purposes of this RFS, this limitation to claiming one preference applies to Respondents' ability to claim the recycled content preference, Indiana small business preference, or to claim eligibility for Buy Indiana points.

SECTION THREE PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or her designee will, in the exercise of her sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight may be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and DMHA/SPF SIG Staff/Grant Review Workgroup for further action, such as contract negotiations. If, however, IDOA and DMHA/SPF SIG Staff/Grant Review Workgroup decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points =

100). If any one or more of the listed criteria, on which the responses to this RFS will be evaluated, are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria. See Attachment D for Scoring Criteria.

Attachment A:

Strategic Prevention Framework State Incentive
Grant

Letter of Interest Form

Organization Information Project Information

Name of Organization:

Year of Incorporation _____

IRS Federal ID# _____

(Not your tax exempt number)

Address _____
(street)

(City) (State) (Zip)

Name/Title of CEO:

E-mail: _____

Telephone: _____ Fax: _____ Web-site: _____

Name of Fiscal Agent:

Address: _____

Telephone: _____ Fax: _____ Web-site _____

E-mail _____

Type of Organization: (Check only one)

____ Arts & Culture ____ Educational ____ Health Services

____ Human Services ____ Religious

____ Public/Social Service ____ Environmental & Animal

Other: _____

Project Name:

Name/Title of project contact person: _____

Telephone: _____ Fax: _____ Email: _____

Total Project Budget

for year one, the planning phase of the Project: \$ _____

Amount requested for year one, the planning phase: \$ _____

Population Served: (Check at least one)

____ General Public

____ Adults

____ Male

____ Children/Youth

____ Elderly

____ Female

____ Gay & Lesbian

____ Ethnic Minority

____ Disabled

____ Disadvantaged

____ Other (Please specify)

Limit Responses to the space provided.

Organization's Mission:

- ❖ **Purpose of request: (300 word Maximum)** State what type of organization your community represents, your community or coalition's intent on implementing the SPF process, and your mission statement and goals.

You may submit this form by U.S. mail or hand delivery on or before, March 12th, 2007 by 3:00 p.m. to:

Governor & FSSA/DMHA
Indiana Government Center South
C/O Marcia French, LCSW/MSW
Coordinator for the SPF SIG
402 W. Washington Street, RM W353
Indianapolis, IN 46204

ATTACHMENT B
Sample Compensation Schedule

| Month of Project | Funding Schedule | Maximum Allocation |
|----------------------------|---|---------------------------|
| Initial Start-Up Cost (1X) | 10% of total sum of the annual paid costs/per community | \$13,875.00 |
| Month One | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month one | \$10,406.55 |
| Month Two | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month two | \$10,406.55 |
| Month Three | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month three | \$10,406.55 |
| Month Four | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month four | \$10,406.55 |
| Month Five | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month five | \$10,406.55 |
| Month Six | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month six | \$10,406.55 |
| Month Seven | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month seven | \$10,406.55 |
| Month Eight | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month eight | \$10,406.55 |
| Month Nine | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month nine | \$10,406.55 |
| Month Ten | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month ten | \$10,406.55 |
| Month Eleven | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month eleven | \$10,406.55 |
| Month Twelve | 1/12 of total sum of annual funds minus the 10% start-up costs to be paid upon completion of tasks agreed upon for month twelve | \$10,406.55 |

- * These figures are based upon 10 Communities being awarded SPF SIG funding.
- These figures have had 30% held out of the monthly funds for Evaluation and Assessment Fees.
- Communities will need to identify salaries of required staff and use this sample to project year one's budget.

Strategic Prevention Framework State Incentive Grant Contract

Ref. Grant # 5 sp11212-03

Special Conditions

Funds specified in this attachment are made available for the provision of community planning and needs assessment to address State funding priorities for prevention services in the areas of alcohol, cocaine and methamphetamine and other substance abuse prevention services in accordance with for the Strategic Prevention Framework State Incentive Grant (SPF SIG). These funds were announced using the RFS 7-28. They are subject to the following.

1. POPULATION TO BE SERVED

- A. Pursuant to this attachment, the Contractor's primary goal of prevention services is to reduce substance use and abuse across the lifespan of Indiana citizens. These efforts will be addressed specifically through building the infrastructure within the State and instructing communities on the SPF process with regards to the identified funded priorities of the State Epidemiological Outcomes Workgroup (SEOW). The funded priorities include; prevent and reduce underage drinking and binge drinking among 18- to 25-year-olds, prevent the first use and reduce the use of cocaine among 18-25 year olds, and prevent and reduce the use of methamphetamine among Black youth and among White women and men 18 to 44 years of age.
- B. Division of Mental Health and Addiction (DMHA) rules, policies, guidelines and RFS 7-28, and State Strategic Plan are incorporated by reference.
- C. The funds of this attachment will be paid to the Contractor subject to the completion of implementation of the prevention strategies in accordance with the five step framework outlined in the RFS 7-28 and the State Strategic Plan, hereby incorporated by reference.

2. ADMINISTRATIVE AND FUNDING TERMS AND REQUIREMENTS AND LIMITATIONS

- A. The funding source supporting services for this grant are from the Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Prevention (SAMHSA/CSAP).
- B. All funds paid to the Contractor must be spent for the purpose of this project.

- C. The total amount of funding to be distributed to the communities annually is \$1.98 million dollars and will follow the format of the Sample Compensation Schedule of RFS 7-28 Attachment B.
- D. The funding allocation is guaranteed, based on availability of funds, to the Contractor subject to the satisfactory completion of SPF process steps as outlined in the State of Indiana's Strategic Plan and upon approval by the State.
- E. Funds of this contract may not be used for any personal individual membership dues or fees to professional organizations that result in a personal benefit only. This condition also applies to those entities that have the capacity to lobby, such as IAPP, Inc.'s membership fee. It does though, allow for organization or agency membership fee payments.
- F. Failure to successfully complete the five steps of SPF may result in termination of the grant.
- G. Administrative fees allowable from grant funding are specifically for the program director and the administrative assistant, inclusive of their benefits, FICA and Workers Compensation. The project director and fiscal director are not to be compensated from grant funding.

3. DATA AND REPORTING REQUIREMENTS

- A. Contractor shall file Monthly Fiscal and Project Reports with the SPF SIG Staff no later than the tenth (10th) of the following month. The format of the reports will be provided by the SPF SIG Staff.
- B. The Contractor shall comply with all evaluations requirements from both the State and federal departments, inclusive of, but not limited to, Community Level Interviews (CLI), State Level Interviews (SLI), and all data collection as deemed necessary. Contractors will also participate in web-based surveys administered by Westat and the National Outcomes Measures (NOMS) data to be submitted to state evaluators and directly to the federal government as well.

4. SPECIAL REQUIREMENTS

- A. Contractors shall participate in quality assurance activities as established by the SPF SIG Staff. This process shall be implemented in phases and shall include at minimum:
 - (1.) Site visits to Contractor's sites and periodic attendance at coalition meetings.

- (2.) Review of data collection procedures at the Contractor's level.
- C. The Contractor's Chief Executive Officer must notify the SPF SIG Staff within 48 hours by phone and in writing within thirty (30) days of any change of the Project Director, the Contractor's Fiscal Officer or, the Contractor's Program Director, or Administrative Assistant. In lieu of notification of a change by the Contractor's Chief Executive Officer (CEO), the designated CEO of the agency must notify the SPF SIG Staff in writing within thirty (30) days. The Contractor's CEO will notify the SPF SIG Staff in writing of any change of the Contractor's legal name, the name under which the Contractor does business and/or legal address.
- D. Primary Program Directors are required to attend the entire annual conference, Many Voices~One Vision or other DMHA designate conferences deemed necessary throughout the project.
- E. Contractors must have signed contracts with all subcontractors.
- F. Contractors shall not use any of the funds received to:
- Make cash payments to intended recipients of health services;
 - Purchase or improve land;
 - Purchase, construct, or permanently improve any building or other facility.
- G. The Contractor agrees to maintain insurance, a dedicated telephone line, and an Internet account for use with a computer and printer. The computer must have a minimum of DSL or better connection to the internet; and use Microsoft Office Suite 2003 or newer version (including at a minimum MS Word, MS Excel, MS Access) to process data and submit written reports requested by SPF SIG program and evaluation staff.
- H. The Contractor must identify a permanent staff member with fiscal oversight responsibilities to serve as a fiscal officer.
- I. The contractor must assign one hundred percent (100%) of the time of a staff member, full time equivalent (FTE), new or existing, to this project to serve as the program director. The program director must have earned a Certified Prevention Professional or Qualified Prevention Professional designation from the Indiana Association of Prevention Professionals, Inc., or be able to obtain this certification within one hundred twenty (120) calendar days of date of hire.
- J. The Contractor must be willing to accept the budgetary limitations imposed by the RFS 7-28 and must furnish or obtain local resources, cash or in-kind, to fulfill all the responsibilities created by acceptance.

- K. The Contractor shall obtain any necessary permission, clearance, and/or consent for the use of photographs, program specific information, or outcomes for any intended use.
- L. Contractors will agree to represent, collaborate, coordinate and work with the coalitions to work through the strategic planning process. Specific coalitions that could include, but are not limited to Drug Free Communities (DFC), Indiana Tobacco Prevention and Cessation (ITPC), Afternoon's ROCK Defined Service Areas, and other coalitions of interest identifying targeted communities.
- M. Contractors will participate in trainings and the technical assistance provided to assist them in developing community-specific logic models.

5. PAYMENT SCHEDULES

- A. An initial one time start-up fee will be paid to Contractors in the amount of up to \$13,875.00. The initial start-up fee will be paid upon the hiring of the Program Director. There after all payments will be made monthly in arrears based on compliance with the benchmarks established between the SPF SIG Staff and the Contractors.
- B. The monthly project and fiscal report is due on the tenth (10) of the month following the report month. Payments will be processed following approval of the monthly report.
- C. An annual audit is required by an independent certified audit firm within six (6) months following the close of the Contractor's fiscal year.
- D. Pending satisfactory performance and compliance with the SPF steps, the contract may be renewed annually for an additional three years and a "no-cost extension" in year four, if funds are available.
- E. An annual reconciliation of payments versus expenditures will be performed within forty-five (45) days after the end of the contract period. The Contractor may retain and apply any unspent funds from the prior contract period in the current contract period with State approval. Any funds paid in one contract period and carried to the next contract period, "carry-over", will be taken into consideration for subsequent contract period(s) and the contract amount may be adjusted accordingly.

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Scoring Criteria

The *Substance Abuse Mental Health Services Administration* (SAMHSA) and *The Center for Substance Abuse Prevention* (CSAP), the funding grantors of the SPF SIG, have dictated that all grants must be awarded based upon data-driven evidence to assist in building capacity and infrastructure to address the needs of substance abuse within the State.

The SEOW has provided analysis documents for the communities to use to evaluate whether they are potential recipients of the award based on the highest needs:

- ❖ **Priority Indicators**-listing the top 10th, 25th and 50th percentile use rate of the priority substances in each of Indiana's 92 counties
- ❖ **Epidemiological Profiles Maps, Graphs & Tables**-depicting where and what populations the data identifies as the highest use areas and populations for the 6 Priority Substances
- ❖ **Literature**—offering explanation of the data to identify highest needs areas

Based on these sources of information, communities will be able to identify and build a data-driven validation to apply as a recipient of the SPF SIG Grant. In the event that a community has additional comparable data, *other than the above mentioned*, to support their case as a high needs community, the Expert Grant Review Committee and Grant Review Workgroup will review and listen to the community's validation for their presenting data.

Potential applicants will include specific community coalitions; and should include, but are not limited to the Local Coordinating Councils, Drug Free Communities, Indiana Tobacco Prevention and Cessation, and Defined Service Area (Afternoon's R.O.C.K.). It is anticipated that the coalitions will work the Community Consultant's which have been established as a main foundation of Indiana's infrastructure.

One of the main focuses of this grant is to assist communities in learning and gaining experience in using the Strategic Prevention Framework process to address the substance problems of their community.

The scoring of the applications will be based on each applicant's ability to show evidence of their community as one of the highest needs community within the State and will be scored as follows:

Section A: Community Assessment (20 pts.)

In this section each community must document their mission statement and indicate whether the mission statement is reviewed on an ongoing basis, to begin the project narrative. Information on the community's demographics; inclusive of whether the community is economically disadvantaged, and whether or not they are a minority community should also be addressed. Communities should provide a general assessment of the substance abuse problems down to the specific concerns of the community, evidenced by the data provided by the SEOW's analysis documents. (10 pts.)

1. Based on the SEOW reports listed above, is your community able to show that they are high need community? What specific data, findings, or information supports your decision to apply as a recipient of the award monies? Describe the specific sources of the data and how your community interprets and justifies your findings. (5 pts.)
2. What methods did you use to analyze data and other information? (i.e. State Epidemiological Profile, school surveys, focus groups, mining existing data sources from law enforcement, hospitals, etc.) (2pts)
3. How do you plan to continually check the validity and accuracy of your original community assessment? (3 pts.)

Table 1. Communities Identified As “High Need” For Alcohol.

Section B: Indicator point scores for each Priority: (40 pts.)

| COUNTY | ALCOHOL PRIORITY SCORE | COUNTY | ALCOHOL PRIORITY SCORE |
|-------------|------------------------|-----------|------------------------|
| Lake | 21 | Porter | 14 |
| Tippecanoe | 20 | Elkhart | 13 |
| Marion | 19 | Shelby | 13 |
| Allen | 18 | Wayne | 12 |
| La Porte | 17 | Delaware | 11 |
| St. Joseph | 17 | Jasper | 10 |
| Vanderburgh | 17 | Kosciusko | 10 |
| Floyd | 16 | Marshall | 10 |
| Vigo | 15 | Monroe | 10 |
| Madison | 14 | Newton | 10 |

The communities will be awarded points in this section based on Tables 1 and 2:

Table 2. Communities Identified As “High Need” For Cocaine and Methamphetamine-Related SPF SIG Funding

| COCAINE | METHAMPHETAMINE |
|--------------------|---------------------|
| Marion (HN/HC) | Gibson (HN) |
| Wayne (HN/HC) | Bartholomew (HN/HC) |
| St. Joseph (HN/HC) | Vigo (HN/HC) |
| Howard (HN/HC) | Daviess (HN) |
| Allen (HN/HC) | Warrick (HN/HC) |
| Grant (HC) | Greene (HN) |
| Elkhart (HN/HC) | Vanderburgh (HN/HC) |
| Lake (HC) | Tippecanoe (HC) |
| Tippecanoe (HC) | Elkhart (HC) |
| | Hamilton (HC) |

Communities can only be awarded scoring points in this section for one priority. Refer to the indicator documents in Attachment 2 of the States Strategic Plan for percentage identification.

All applicant communities listed in Tables 1 and 2 will be awarded **40 points** as they have been pre-identified by the SEOW as being high need/high contributor communities.

Other communities may choose to apply; however, applicant communities are required to present a thorough data-based argument, using the detailed data tables prepared by the SEOW (see Attachment 2) and/or other local sources. The analysis must demonstrate that the applicant’s community falls in the top half of the distribution of counties in Indiana on at least one of the allocation indicators within the applicant’s targeted priority, used by the SEOW to establish high need within the selected targeted SPF SIG priority. For alcohol, this included six indicators: 1) number of alcohol-related fatal auto accidents; 2) rate of alcohol-related fatal auto accidents; 3) number of alcohol-related crashes; 4) rate of alcohol-related crashes; 5) number of arrests for

public intoxication; and 6) rate of public intoxication arrests. For cocaine and methamphetamine this included two indicators: 1) rate of arrests possession of marijuana or “other synthetic drugs” and 2) number of arrests for possession of marijuana or “other synthetic drugs.” (See above for a more detailed discussion of the SEOW’s methodology.) Applicant communities able to demonstrate they fall within the top have of the distribution on one of the indicators within each set, we will be awarded points as follows:

- one indicator in the top 10% = **30 points**
- one indicator in the top 15% = **25 points**
- one indicator in the top 25% = **20 points**
- one indicator in the top 50% = **15 points**

Section C: Capacity Building (20 pts.)

In this section of the Project’s Narrative, applicants should make a statement of intent to address capacity building efforts within the community and the coalition’s ability to lead and manage change within the community. (7 pts.)

1. What current financial and other resources (people, leadership, training, knowledge, etc.) do you have in place that is appropriate to address the identified drug use problems in your community? (3 pts.)
2. How do you plan to maintain and strengthen the community over the life of the project? (3 pts.)
3. How does your community anticipate training, encouraging, and mobilizing your current and future leaders, workers, and volunteers? (4 pts.)
4. Please provide the past 3 months meeting minutes, listing the frequency of meetings, and a list of the members and what organizations they represent from the community of your coalition. (3 pts.)

Section D: Financial Capacity (20 pts.)

Applicants must complete and submit the prescriptive budget outlined by the State for the first year of the award. They must also indicate who the fiscal agent will be managing the funds of the grant. Please report to the experience in financial accounting and reporting of your fiscal agent. What are the current safeguards within your community to ensure proper management of the funds? See attachment C.

| Criteria | Points |
|---|---------------|
| Adherence to Mandatory Requirements | Pass/Fail |
| A. Community Assessment | 20 Points |
| B. Indicator Points for Each Priority | 40 Points |
| C. Capacity Building | 20 Points |
| D. Financial Capacity | 20 Points |
| 5. (5) Minority and Women Business, (5) Subcontractor Commitment, (5) Drug Free Communities | Bonus Points |
| Total | 100 |

M E M O R A N D U M OF UNDERSTANDING

I. PURPOSE

- A. This Memorandum of Understanding (MOU) is for the purpose of our community/coalition demonstrating a relationship and commitment in working with the Governor's Commission for Drug Free Indiana Community Consultant and LCC assigned to our area.
- B. The purpose of this working relationship is to build upon the existing infrastructure the State has provided for prevention efforts in the State of Indiana and to build stronger foundational relationships and efforts in reducing substance use and abuse across the lifespan of Indiana citizens.

Signature of Project Director:_____

Date:_____

Signature of Community Consultant:_____

Date:_____